



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Peter Martyn and Karen Peterson Art Unit : 3628  
Serial No. : 10/001,240 Examiner : Ojo O. Oyebisi  
Filed : November 14, 2001 Conf. No. : 9278  
Title : ODD LOT PROCESSING IN CENTRALIZED AUTOMATED MARKET  
SYSTEM

**MAIL STOP AMENDMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicants request consideration of the references listed on the attached PTO-1449 form. Under 37 C.F.R. § 1.98 (a)(2)(ii), only copies of foreign patent documents and/or non-patent literature are enclosed. Copies of any listed U.S. patents or U.S. patent application publications can be provided upon request.

This statement is being filed after a first Office action on the merits, but before receipt of a final Office action or a Notice of Allowance. A check for \$180 in payment of the late submission fee of §1.17(p) is enclosed. Please apply any other charges or credits to Deposit Account No. 06-1050.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

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December 28, 2006  
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Signature

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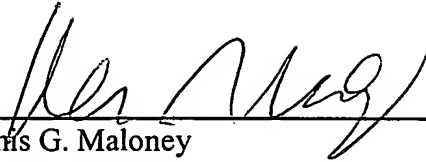
Applicant : Peter Martyn and Karen Peterson  
Serial No. : 10/001,240  
Filed : November 14, 2001  
Page : 2 of 2

Attorney's Docket No.: 09857-072001

Respectfully submitted,

Date: \_\_\_\_\_

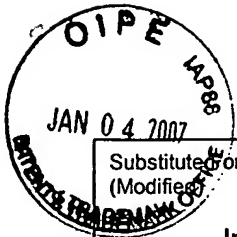
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Dennis G. Maloney  
Reg. No. 29,670

Fish & Richardson P.C.  
225 Franklin Street  
Boston, MA 02110  
Telephone: (617) 542-5070  
Facsimile: (617) 542-8906

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Substituted from PTO-1449  
(Modified)U.S. Department of Commerce  
Patent and Trademark OfficeAttorney's Docket No.  
09857-072001Application No.  
10/001,240**Information Disclosure Statement  
by Applicant**

(Use several sheets if necessary)

(37 CFR §1.98(b))

Applicant  
Peter Martyn and Karen PetersonFiling Date  
November 14, 2001Group Art Unit  
3628**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	2002/0133454		Malitzis et al.			
	AB	2002/0161687		Serkin et al.			
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
	AQ	Tewels et al., The Stock Market, 1998, John Wiley & Sons, pps. 168-169.
	AR	
	AS	
	AT	

Examiner Signature

Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.